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SUB-ANNEX A-1 GENERAL (RCS CECW-B-12)

- **A-1.1. Applicability.** This annex provides Program guidance and procedures for all activities in the Investigations (I) appropriation title and comparable ones from the Flood Control, Mississippi River and Tributaries (MR&T) appropriation title, where appropriate
- **A-1.2. Organization and Structure.** Subannex A-2 includes all specifically Programmed activities Reconnaissance and Feasibility Studies, Restudies/Reviews, and Preconstruction Engineering and Design (PED). It provides guidance on feasibility studies and PEDs, including new starts. Subannex A-3 covers all other activities funded by the Investigations appropriation title and the Flood Control, Mississippi River and Tributaries counterparts.
- **A-1.3**. **Definitions.** The following definitions are provided to assist you in identifying surveys and projects to be included in the submission of the Investigations program.
- a. Navigation Studies. Navigation studies seek to provide safe, reliable, and efficient waterborne transportation systems (channels, harbors, and waterways) for movement of commerce, national security needs, and recreation.
- b. Flood Damage Reduction Studies. Studies seek to prevent or reduce flood damages through the use of structural or non-structural measures. Structural measures include dams with reservoirs, dry dams, channelization measures, levees, walls, diversion channels, ice-control structures, and bridge modifications. Non-structural measures reduce flood damages without significantly altering the nature or extent of flooding by changing the use made of the flood plains, or by accommodating existing uses to the flood hazard Non-structural measures are flood proofing, permanent relocation of structures, flood warning/preparedness systems, and regulation of flood plain uses.
- c. Shoreline Protection Studies. Studies seek to provide hurricane and storm damage reduction caused by wind-generated and tide-generated waves and currents along the nation's ocean coasts, Gulf of Mexico, Great Lakes and estuary shores.
- d. Ecosystem Restoration Studies. Studies seek to identify means to restore degraded ecosystem structure, function, and dynamic processes to a less degraded, more natural condition. This does not include actions normally considered to be remediation of hazardous material.
- e. Watershed/Comprehensive Studies. Watershed studies are planning initiatives that have a multi-purpose and multi-objective scope and accommodate flexibility and collaboration in the planning process. Possible areas of investigation include flood damage reduction activities, ecosystem restoration, navigation, water supply, and recreation. Districts are encouraged to pursue this approach.
 - Requires consideration about water resources development and management in the context of multiple purposes rather than single purposes, and, thus, facilitates the search for comprehensive and integrated solutions.
 - Improves opportunities for public and private groups to identify and achieve common goals by unifying on-going efforts and leveraging resources.
 - Identifies a combination of recommended actions (a Watershed Management Plan) to be undertaken by various partners and stakeholders in order to achieve local, tribal, regional, and national water resources management goals identified in the study and may or may not

- identify further budgetable Corps studies or implementation projects.
- <u>Leverages resources, including cost shared collaboration, and integrates programs and activities within and among Civil Works programs, and with other Federal, tribal state and non-governmental organizations, to improve consistency and cost effectiveness;</u>
- f. Special Studies. This category should be used only in special cases, where the survey or project has a National perspective and is not tied to one project purpose or business line; most often these will be HQ funded items.
- g. Reconnaissance Phase completion: The Reconnaissance phase ends with the execution of a Feasibility Cost Sharing Agreement (FCSA) or a report recommending no Federal action.
- h. Feasibility Phase completion: The Feasibility phase ends on the date the Division Engineer's Transmittal of the final feasibility report to Headquarters.
- i. Preconstruction Engineering and Design (PED) Phase completion: The PED phase ends after completing the first set of plans and specifications or when the Project Cooperation Agreement (PCA) is executed.
- j. NEW PHASE: A study or project is considered to be in a NEW PHASE once it has completed the current phase that is funded and is ready for budgeting in the follow-on phase (e.g., from Reconnaissance to Feasibility or Feasibility to PED). Seamless PEDs are a new phase. A value must be entered in the data field named "Phase Status" for every budget item (row) in P2(OFA). The valid values are New Phase (NP), Continuing (CN), and Last Year of Phase (LY). For a new Recon, you should enter New Phase (NP) in this column. If a study is completing one phase and starting a new one in the PY (e.g., finish Feas and start PED), each should be a separate entry (one LY and one NP).

SUB-ANNEX A-2 SPECIFICALLY PROGRAMMED STUDIES AND PROJECTS - NEW AND CONTINUING

A-2.1. Performance Based Budget Increments.

- a. **Ranking criteria**. To be considered for inclusion in the FY 09 program each study must meet the following criteria prior to applying the business line performance/ranking criteria:
 - be in accord with current policy
 - urgency of implementation of problem solution
 - have local support for continuation of activity
 - likely participation of non-Federal sponsor in implementation of solution
 - scheduled activity completion date
- compliance with NEPA and other environmental regulations appropriate for the stage of the effort.
- b. **CECW Program.** CECW will review the I portion of the Civil Works Program considering the national criteria in effect mid-summer PY-2 and guidance from ASA(CW) and OMB. CECW may increase or decrease the total for I. Once the initial level is established, investment increments will be added in accordance with priorities in each business line. To be considered for inclusion in the FY 09 program each study must meet the following criteria prior to applying the business line performance/ranking criteria:
 - be in accord with current policy
 - urgency of implementation of problem solution
 - have local support for continuation of activity
 - likely participation of non-Federal sponsor in implementation of solution
 - scheduled activity completion date
- compliance with NEPA and other environmental regulations appropriate for the stage of the effort.

A-2.2. Program Description and Procedure.

a. Project Development Process

In General. The development of each new project or separable element will adhere to the standard project development process, as follows.

- (1) **Studies**. There will be a two-phased study leading to a feasibility report in accordance with sections 905 and 105 of the Water Resources Development Act (WRDA) of 1986, as amended. A feasibility report is needed to support environmental compliance, policy review, engineering and design, and a project cooperation agreement (PCA). A feasibility report will be prepared even in those instances where the project or separable element is authorized before completion of the feasibility report. The feasibility phase will be carried out under a cost shared feasibility cost sharing agreement (FCSA), except for feasibility studies carried out before WRDA 1986 took effect, feasibility studies for inland waterway projects, and studies to dispose of or reduce costs at existing Federal projects.
- (2) **Preconstruction Engineering and Design (PED)**. PED will begin after issuance of the Division Engineer's Transmittal Letter of the final feasibility report and will be carried out under a design agreement until execution of the applicable PCA. The design agreement will provide for concurrent

financing of design 75 percent Federal and 25 percent non-Federal. When construction is initiated, the design costs will be folded into total project costs and the Federal and non-Federal shares will be brought into balance in accordance with the cost sharing in the applicable PCA. A design agreement is not required for the following: an inland waterway project; a dam safety assurance, seepage correction, or static instability correction project; a replacement project; deficiency correction at a Federally operated project; or a project or separable element for which the non-Federally financed portion of engineering and design during construction costs alone would exceed the total non-Federal cash share for the project or element, the non-Federal share is reduced under ability to pay rules, engineering and design during construction costs are less than \$100,000, or engineering and design was initiated before FY 1997.

- (3) **Budgeting**. All studies and all post-feasibility, pre-PCA engineering and design activities for new projects and separable elements that are consistent with policy will be budgeted as studies and PED, respectively, in the Investigations account or the study/design portion of the Flood Control, Mississippi River and Tributaries (MR&T) account. However, post-feasibility, pre-PCA engineering and design may be budgeted as construction in the Construction account or the construction portion of the MR&T account if the applicable project or element is authorized, is supported by the Administration for construction, and either is budgeted as a new start or has received construction appropriations.
- (4) **Post-Feasibility Modifications**. Once the feasibility report has been completed for a project, additional engineering and design, economic and environmental analyses, and evaluations often result in the identification of potential project modifications. Each potential modification that is identified (whether during PED or construction) should be subjected to a reconnaissance-level examination to determine whether the modification so changes or would change project scope or functions, beyond the scope and functions described in the completed feasibility report, that it required or would require additional authorization, beyond the current authorization or the authorization contemplated in the completed feasibility report.
- (a) Examination and documentation of a simple cost increase without a change in scope or functions may be undertaken as part of PED or construction. If additional authorization is required as a consequence of the simple cost increase, a Post-Authorization Change Report should be prepared.
- (b) Examination and documentation of design changes that would not require additional authorization may be undertaken as part of PED or construction. However, if such design changes are material changes to the basic project features or output levels and the original project already is covered by a PCA, design of the material changes should be undertaken under a design agreement, and construction of the material changes should not be commenced until the PCA has been amended to reference an approved report that incorporates the material changes.
- (c) A modification that required or would require authorization beyond the current authorization or the authorization contemplated in the completed feasibility report, and that extends, expands, or adds functions to the original project described in the completed feasibility report, is beyond the scope of the original project. If such an added function is physically integral to the original project, the modification will be treated as a substitute plan and, if the substitute plan is pursued, work on the original project will be suspended, then concluded in an orderly manner. An extension, expansion, or physically separable added function will be treated as a new project if it is unauthorized or is separately authorized, or it will be treated as a new separable element if it is authorized as a modification to the original project. Following the reconnaissance-level examination, the substitute plan, new project, or new separable element will be developed in accordance with the standard project development process discussed above, beginning with its own feasibility study.
 - (d) The development of a new project (including a substitute plan) or a new separable element

will not be undertaken as a "reevaluation" of the original project, and will not be funded as part of engineering and design or construction of the original project. However, once the feasibility report for a new separable element has been completed, the new separable element may be included in PED for the project along with other separable elements, and may be included in construction of the modified project if the new separable element is authorized and has received construction funds.

b. **Feasibility Studies.** This encompasses all studies, Federally funded and cost-shared, and new starts for reconnaissance phase studies. Cost sharing is not applicable to single purpose inland navigation studies on the nations inland waterways system in accordance with ER 1105-2-100, para 2-12.b.(4).

Eligibility and Selection for Funding.

- (1) New. New starts include all active authorized feasibility studies which have not received an initial work allowance and are eligible for funding based on their justification or (1) was not included in the PY-1 Program or was not funded in the conference report which accompanied the PY-1 appropriation act and (2) was not funded in the conference report which accompanied the PY-2 appropriation act (Resumption). The needs to be addressed should be of broad national scope and significance and should include at least one of the following: commercial navigation; inland navigation; flood damage reduction; hurricane and storm damage reduction; ecosystem restoration, and reallocation of existing storage or addition of storage to an existing project that would increase vendible outputs where there is no construction cost to the Federal government;. Final selection for inclusion in the program will require justification on the specifics and history of the need or problem and evaluation of the extent to which the proposed effort meets the appropriate business line performance and ranking criteria. The justification should be able to demonstrate the urgency for funding of the reconnaissance phase in the PY. In addition, based on recent expression of community interest, the Division Commander should believe there is a potential sponsor for the feasibility phase, one who understands the two-phase process and who would be willing to participate. Funds to initiate a new reconnaissance study will be issued with initial FY work allowances; however, the 12-month reconnaissance phase will be measured from the date of initial obligation of funds. Proposals for new Reviews of Completed projects must be accompanied by the completed initial appraisal or reconnaissance report prepared with O&M funds.
- (2) **Continuing.** All active authorized continuously funded studies or previously funded cost shared studies that local interests fully support and that are judged likely to lead to implementation of a solution are eligible for funding in the PY. In addition, the study must address at least one of the needs of commercial navigation, flood damage reduction, hurricane and storm damage reduction, or ecosystem restoration. Continuing studies include feasibility studies resulting from an approved 905b reconnaissance report and a certified reconnaissance phase. These studies may be budgeted as continuing "spinoff" feasibility studies, however, they must have been clearly identified in the certified reconnaissance report to be included in the budget. When a certified reconnaissance phase identifies more than one "spin-off" feasibility study, one of those feasibility studies may carry the same PWI number as the parent reconnaissance study. Each additional "spin-off" study will be given a new PWI number and each one must be budgeted separately. Normal feasibility cost-sharing rules apply. Justification sheets should identify the original 905b authorization for continuity and to provide an audit trail. "Spin-off" feasibility studies should be clearly identified in the parent reconnaissance phase. Studies not clearly identified in the reconnaissance phase may not be considered continuing studies and will require a new start decision.
- c. **Preconstruction Engineering and Design (PED).** PED is concurrently financed with non-Federal sponsors. Sponsors must assure that they understand and are ready to sign a design

agreement and have funds available to finance the PED portion of the design of a project. PED will ultimately be cost shared at the rate for the project to be constructed but will be initially financed through the PED period at 25% non-Federal. Any adjustments that may be necessary to bring the non-Federal contribution in line with the project cost sharing will be accomplished in the first year of construction. There are four programs of PED.

(1) Description.

- (a) **PED Under the Concepts of Two-phase and Cost-shared Planning.** PED that are justified and result from cost shared studies conducted under the two phase procedures may be programmed and justified as a continuing activity. Subject to the availability of funding, initial funding will be programmed in the fiscal year the feasibility report with engineering annex is completed. Normally funds will be allotted immediately after the Division Engineer's Transmittal Letter. The intent is to include PED in the Program request as continuing activities as long as the anticipated project to be recommended is in accord with current priorities and a non-Federal sponsor is ready to contribute 25% of the PED cost during PED by stating their readiness to sign a design agreement. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction, including in most cases the plans and specifications for the first significant contract. The project data summary, Illustration A-2.5, includes a data element to distinguish PEDs in this group from the other PED types.
- (b) PED for Projects Authorized for Planning and Engineering Only. PED for projects authorized for planning and engineering by the Water Resources Development Act of 1986 are included in this group. These projects will be Programmed for initiation of PED only after new start selection by ASA(CW) and concurrence by OMB. By definition, the planning and engineering phase will include all work required to submit a feasibility report with engineering annex, and will be cost shared 50/50 with a non-Federal sponsor. In accordance with Section 301 of Water Resources Development Act of 1990, if the sponsor provides 50 percent of the cost of the feasibility study the design phase will be treated as cost of construction. The design phase will include all work after the feasibility phase, including the Design Documentation Report (DDR) and plans and specifications for the first significant contract, and will be cost shared according to project purpose. A non-Federal sponsor must be ready to contribute 25% of the PED cost during PED by stating their readiness to sign a design agreement. Normally, there will be no reconnaissance phase for these projects. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction.
- (c) <u>PED for Inland Navigation Projects.</u> PED for inland navigation projects will be programmed in accordance with the instructions in paragraph c(1)a above, except that it is funded 100% Federally funded.
- (d) **Other PED.** PED for projects which are not adequately described by the preceding subparagraphs of section A-2.2.c. Normally, initial funding will be programmed in the fiscal year the supporting report is completed. These projects will have to compete for new start status and will not be included in a program request as a new start unless specifically approved by the ASA(CW) and concurred in by the OMB and a non-Federal sponsor is ready to contribute 25% of the PED cost during PED by stating their readiness to sign a design agreement. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction, including in most cases the plans and specifications for the first significant contract.
 - (2) Eligibility and Selection Criteria.

- (a) **New Start** must meet the following:
- (1) A Division Engineer Transmittal Letter recommending the project will be issued by June of the PY, or the project was authorized for planning and engineering only by the Water Resources Development Act of 1986; and
- (2) The project has net economic benefits at the current interest rate, or ecosystem restoration benefits that exceed the cost; and
- (3) The primary project outputs are commercial navigation, inland navigation; flood damage reduction; hurricane and storm damage reduction; or aquatic ecosystem restoration; and
 - (4) There is no major unresolvable controversy or issue; and
- (5) There is an identified and willing sponsor who understands and has the ability to finance PED at the 25% rate and has the ability to finance the items of local cooperation for construction.
- (6) The project is in compliance with applicable environmental statutes appropriate to the current stage. Or below
- (7) An Environmental Assessment/Finding of No Significant Impact has been signed, or final EIS has been filed, or final EIS supplement is scheduled for filing with EPA by August of the PY-2.
- (8) Prioritization will be based on the criteria for the appropriate business line as discussed in Appendices 1-8.
 - (b) **Continuing projects** may be included if the following are met:
 - there is a strong probability of implementing a solution; and
 - the activity meets all criteria under subparagraph (a) above.

A-2.3. Program Considerations.

- a. Study and PED cost estimates are to include an allowance for inflation in accordance with the instruction of paragraph 6 of this EC. The construction project cost estimated displayed in the PED portion of Illustration A-2.5 and the justification sheet will be based on 1 October of the PY-1 price level (Do not include an allowance for inflation through the construction period).
- b. Annual funding requests for new reconnaissance phase studies are to be only for the amount required to carry out the anticipated activities during that FY.
- c. Submissions for funding of continuing studies and projects not included in the PY-1 program request must be accompanied by a supplemental (page 2, see paragraph A-2.4.a.) justification describing the changed conditions that now warrant inclusion of the study/project in the PY request.

A-2.4. Submission Requirements.

a. **Justification Statements.** See Table 2 of this Engineer Circular for the due dates for draft justification materials for new starts, draft justification materials for continuing work, revisions to justification materials, and final justification materials for submittal to Congress. Supporting data for each

study or project in the Division's programs, that has a funding requirement in the PY, both new and continuing, contained in the final program "recommended" to Congress in support of appropriations, will consist of a Justification Sheet, two part where necessary. The mandatory first page is the Congressional Justification. See Illustrations A-2.1 through A-2.4 for format and content for new start reconnaissance phase, feasibility phase (cost shared), continuing surveys (full Federal expense), and PED. The second page, is required when funds are being requested to continue a study or project not included in PY-1 program or appropriations but proposed for funding in the PY program, is to be used to provide any additional information or expansion of data more appropriately classified as supporting data not appropriate for inclusion in the congressional justification, but may be necessary for proper and complete consideration for inclusion in the President's Program. The appropriation title and division must be typed as the first line in the body of the first page of the survey and PED justification package. Do not underline any headings. The District must be identified under the survey or PED name. Justifications for new starts and continuing studies and projects are to be submitted electronically through HQUSACE to RITs.

b. P2. All studies and projects, including new starts, will be coded into the P2 system as discussed in section 13 in the main portion of this EC. A feasibility study will use the same P2 Project ID number as the reconnaissance study when there is only one feasibility study as a result of the reconnaissance, however, the feasibility will use a separate CW Type of Funds (ccs) identifying the phase and project purpose associated with that level of work. In the situation where more than one feasibility study results from a reconnaissance study, then a new system generated Project ID number will be provided from P2. In addition, a PED project will use the same P2 Project ID number as the feasibility study when there is only one project coming out of the parent study.

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ILLUSTRATION A-2.1 NEW START RECONNAISSANCE PHASE STUDY

APPROPRIATION TITLE: Investigations, Fiscal Year (PY)			Division:	_	
Study	Total Estimated Federal Cost \$	Allocation Prior to FY (PY-1) \$	Allocation FY (PY-1) \$	Tentative Allocation FY (PY) \$	Additional to Complete After FY (PY)
SURVEYS - NEW (Insert Type)					
Study Name	100,000	0	0	100,000	0

EFG District

Furnish a brief description of the study area, water resource development problems, and principle purposes of the study. For example, for flood damage prevention studies any information available on recent flood history. (dates, physical and dollar losses, etc), or for navigation studies include information on use (commercial vs. recreation) cargo types and quantities if known. For ecosystem restoration studies, include information that addresses the performance components in Appendix II (do not enter the scores) and information about the physical area involved. For all purposes, provide any pertinent information concerning coordination with Federal and state resource agencies. Identify relationship to other project purposes if appropriate. Do not include irrelevant data such as "mild summers or harsh winters"; do include all the data that would tell why this study should be selected out of the many recommended. Also cite any matters known to be of concern to the Congress and identify the tentative local sponsor who has indicated intent to share equally in the feasibility phase cost that may follow the reconnaissance study. (There may be multiple sponsors for watershed and multi-purpose studies) Describe briefly the general scope and key areas of concern that are to be addressed in the reconnaissance study, probable solutions if this type of information is available, and the work to be performed in the program year. This paragraph should present specific arguments and evidence that it is important to initiate the study in the program year and similar evidence that makes it clear that the study and its anticipated outputs are in accord with Administration policy. The reconnaissance phase is scheduled to be completed in (Month xxxx), which is (12 or less) months after initiating the study. It is acceptable to budget for reconnaissance studies that exceed \$100,000. The Justification sheet should state the date of CECW-P or RIT approval if it shows a cost above \$100K or a schedule beyond 12 months.

Cite study authority. (In the event that sufficient study authority is not available to accomplish study purpose it should be so noted and a request for appropriate authority must be in progress.)

ILLUSTRATION A-2.2 COST-SHARED FEASIBILITY STUDY

APPROPRIATION TITLE: Investigations, Fiscal Year (PY)			Divis	sion:			
	Tota	al Allocatio	n			Tentative Additiona	í
Study	Estim Federal Co		Prior to Allocation FY (PY-3) FY (PY-3)	Allocation Allocation FY (PY-2) FY (F		a to Complete After FY (PY) \$	\$
ABCD River & Tributaries, Nothing Wash EFG District	1,200,000	170,000	150,000	200,000 130,	000 200,000	350,000	

Furnish a brief description of the study area, water resource development problems, and principle purposes of the study. For example, for flood damage prevention studies any information available on recent flood history (dates, physical and dollar losses, etc), or for navigation studies include information on use (commercial vs. recreation) cargo types and quantities if known. For ecosystem restoration studies address the approximate area to be restored to the extent this is known. For all purposes, address the performance criteria for the purpose as described in Appendices I-VIII. For ecosystem restoration studies do not enter the performance component scores, instead provide data reflecting the basis for the scores. Do not include irrelevant data such as "mild summers or harsh winters"; do include all the data that would tell why this study should be selected out of the many recommended. Also cite any matters known to be of concern to the Congress. Describe briefly the general scope and key areas of concern that were or are being addressed in the reconnaissance study, probable solutions, and the work to be performed in the Program year. This paragraph should present specific arguments and evidence that it is important to fund the study in the Program year and similar evidence that makes it clear that the study and its anticipated outputs are in accord with Administration policy. Provide best available sponsor information. (Name of potential or actual sponsor, dates of verbal or written commitments, scheduled or actual FCSA signing.)

Fiscal Year (PY-1) funds are being used to fully fund the reconnaissance phase at full Federal expense. If the reconnaissance report is certified to be in accord with policy, the funds requested for Fiscal Year (PY) will be used to continue into the feasibility phase of the study. The preliminary estimated cost of the feasibility phase is \$2,200,000, which is to be shared on a 50-50 percent basis by Federal and non-Federal interests. A summary of study cost sharing is as follows:

Total Estimated Study Cost	\$2,400,000
Reconnaissance Phase (Federal)	100,000
Feasibility Phase (Federal)	1,100,000
Feasibility Phase (Non-Federal)	1.100.000

The reconnaissance phase is scheduled for completion in September (Month and Year) (Date of signing of FCSA). The feasibility study is scheduled for completion in September (Month and Year) (Date of Division Engineer's Transmittal Letter).

Division:

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ILLUSTRATION A-2.3 FULL FEDERAL EXPENSE FEASIBILITY STUDY

APPROPRIATION TITLE: Investigations, Fiscal Year (PY)

	Total Allo	ocation		Tentative Additional	.I
Study	Estimated Federal Cost	Prior to Allocation FY (PY-3) FY (PY-3)	Allocation Allocation Allocation FY (PY-2) FY (PY-1) (PY)	to Complete After FY (PY)	
•	\$	\$ \$	\$	\$	\$
XYX River Basin EFG District	750,000 100	0,000 100,000	200,000 100,000 200,000	50,000	

This paragraph should describe the study area, the navigation problems and potential solutions. Results of the study to date should be covered as well as information that conveys to the reviewer (Corps, Army, OMB, or Congress) that the study and its anticipated outputs are in accord with Administration priorities.

This paragraph is to be used to describe the activities to be undertaken during the PY-1. The activities pertaining to each interim are to be clearly described.

This third paragraph is to be used to describe the activities to be undertaken in the PY.

This final paragraph will set forth the schedule for the study including completion dates (month and year) (date of Division Engineer's Transmittal Letter for each interim and the overall study.

ILLUSTRATION A-2.4 PRECONSTRUCTION ENGINEERING AND DESIGN

APPROPRIATION TITLE: Investigations, Fiscal Year (PY)			Division:			
Study	Total Estimate Federal Cost \$		Prior to Allocation	Allocation Allocation Allocation t FY (PY-2) FY (PY-1) (PY) \$	Tentative Additiona to Complete After FY (PY) \$	al :
PRECONSTRUCTION ENGINEERING AND I	DESIGN (PED) ACTIVITIES	5 – (Type)				
XYX River Basin EFG District	1,100,000	300,000	150,000	200,000 150,000 300,000	0	

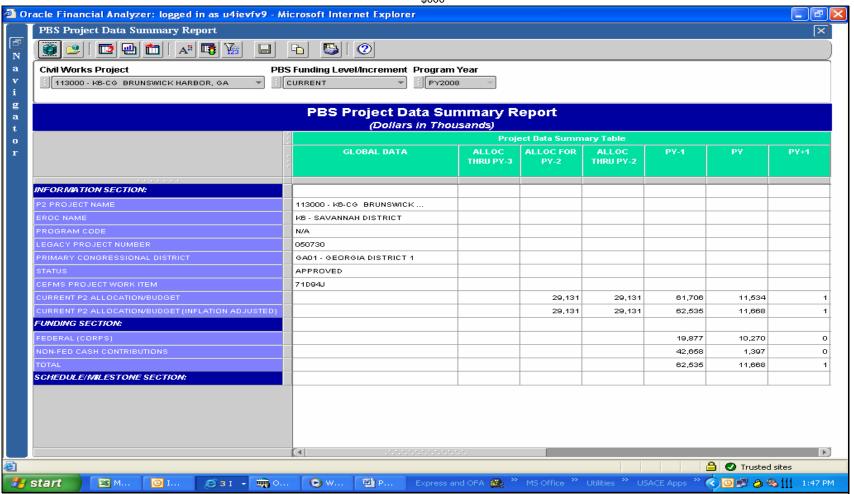
This is an example of the type of project description data to provide. For an ecosystem restoration project include area to be restored in acres, types of habitat, expected outputs and the data supporting the scores assigned for the performance components. Do not include the scores.

XWV River drains an area of about 2,114 square miles in southwest State and empties into Something Harbor. The XYZ flood plain encompasses about 1,560 acres of mostly urban development on the left bank of the XWV River. The maximum flood of record, that of December 1933, would have caused an estimated \$13.4 million damages to XYZ River under October (PY-1) prices and conditions of development. A feasibility report was completed in FY 1996. The recommended project, estimated to cost \$xx.x million with an estimated Federal cost of \$xx.xx million and an estimated non-Federal cost of \$xx.xx million, includes construction of a levee system to provide flood protection to 1,318 acres in XYZ. Pumping stations and gravity outlets with tide gates would be included to accommodate interior drainage. The average annual benefits amount to \$2.7 million, all for flood control. The benefit-cost ratio is 1.2 to 1 based upon the latest economic analysis dated (Month Year). Identify project sponsor and set forth latest evidence of support. (Sponsor's must assure that they understand and are ready to sign a design agreement and have funds available to finance the PED portion of the design of a project.) PED will ultimately be cost shared at the rate for the project to be constructed but will be financed through the PED period at 25% non-Federal. Any adjustments that may be necessary to bring the non-Federal contribution in line with the project cost sharing will be accomplished in the first year of construction.

Total Estimated Preconstruction		Total Estimated Preconstruction	
Engineering and Design Costs	\$1,333,000	Engineering and Design Costs	\$1,333,000
Initial Federal Share	1,000,000	Ultimate Federal Share xxx,000	
Initial Non-Federal Share	333,000	Ultimate Non-Federal Share	xxx,000

The project is authorized for construction by (Cite the construction authorization and cost sharing requirements). Fiscal Year (PY-1) funds are being utilized to continue work on the Feature Design Memorandum, including economic studies. Fiscal Year (PY) funds will be used for completion of PED in (Month and Year).

ILLUSTRATION A-2.5 PROJECT DATA SUMMARY \$000



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SUB-ANNEX A-3 CECW PROGRAMMED ITEMS

A-3.1. Program Procedure.

- a. The activities covered by this subannex are programmed by CECW. You should assume your allowances will remain at or about the same level as PY-2 through PY+9 in preparing programming documents for the fifteen activities requiring Division response.
- b. If a division is experiencing conditions that would materially affect its requirements for the activities covered, the Division Commander should submit a brief letter to HQUSACE, CECW-I outlining the changed conditions.
- c. Note that there are three accounts that are similar, in that they provide the ability to respond to other entities without being either agency or project/study specific, but that serve different functions. They are Special Investigations, Interagency Water Resources Development, and Coordination with Other Water Resources Agencies. Special Investigations is for limited scope investigations, not for coordination. Interagency Water Resources Development is for coordination with others on problems that may lead to specific studies such as cost sharing or applicability of Corps programs to water resources problems. The Coordination with Other Water Resources Agencies account is for coordination with Planning Commissions, other Federal Water Resources Agencies or other entities which serve that function, on regional problems of a general nature not related to a programmed study or specific potential study. Some requests for assistance will not fit clearly into one of these three accounts, but you should be sure that, to the extent possible, such activities are programmed in the appropriate account and that activities in the three accounts are not duplicative.
- **A-3.2. Submission Requirements**. Provide a breakdown by District for each activity listed in paragraph A-3.1, for PY-1 and PY in the format of Illustration A-3.1. The information should provide a base to develop allowances for varying program levels.

A-3.3. Special Investigations.

- a. **Program Objective.** This category is for investigations of limited scope, in replying to requests from sources outside the Corps of Engineers, for information relating to unauthorized projects and other activities which have no funds, and which are not accomplished with a view toward determining whether a project can be developed. Also included is work specifically authorized by the Chief of Engineers; the review of reports and Environmental Impact Statements requested by other agencies, unless otherwise provided for; and attendance at meetings of local interests and other agencies during the preliminary stages of project investigations.
- (1) The program objective specifically includes The Gulf of Mexico Program, which is an interagency effort for resolving complex environmental problems associated with man's use of the Gulf of Mexico. This program is limited to divisions and subordinate districts bordering on the Gulf of Mexico.
- (2) The program objective specifically includes the Pacific Northwest Forest Case Study, which is an interagency program initiated by the White House's Council on Environmental Quality for ecosystem management of the public lands within the range of the Northern Spotted Owl.

- (3) The program objective specifically includes the Chesapeake Bay program, which is an interagency program initiated by the U.S. Environmental Protection Agency, for the protection and restoration of the bay's natural resources. Work which requires Section 510 of the Water Resources Development Act of 1996 authorization is subject to the cost sharing of that authorization.
- b. **Narrative Paragraph Submission.** A narrative paragraph should be submitted which describes specific investigations, studies, or tasks accomplished under this activity for the PY-3 and PY-2 to date in the format of Illustration A-3.2.

A-3.4. FERC Licensing Activities.

- a. **Program Objective.** The objective of the Federal Energy Regulatory Commission licensing activities is to provide timely review of FERC license and permit applications consistent with regional and national priorities. Review is accomplished on a first come-first served basis.
- b. **Eligibility.** License or permit applications are eligible for consideration if they are for new or existing non-Corps operated facilities. Review of license and permit applications which could have an effect on ongoing projects under construction or being operated by the Corps should be accomplished with available project funds.
- **A-3.5.** Interagency Water Resources Development. The interagency water resources development program is for Corps of Engineers districts activities, not otherwise funded, that require coordination effort with non-Federal interests. These activities include such things as meeting with City, County and state officials to help them solve water resources problems when they have sought advice or to determine whether or not Corps programs are available and should be used to address the problems. The funds would also be used to cover costs of meeting with potential study sponsors prior to programming for study to insure they fully understand study cost sharing and to obtain an indication of their interest in participating in a future study. Funding for American Heritage River Navigators is included in this category and requirements for this effort should be separately noted and justified.
- A-3.6. National Estuary Program (NEP). The NEP is an interagency planning program to develop management plans for nationally significant estuaries designated by EPA. To date, the following 28 estuaries have been designated under the program: Columbia River, WA & OR; Mobile Bay, AL; Morro Bay, CA; Charlotte Harbor, FL; Maryland Coastal Bays, MD; New Hampshire Estuaries, NH; Barnegat Bay, NJ; Puget Sound, WA; Delaware Bay, DE; Delaware Inland Bays, DE; New York/New Jersey Harbor, NY-NJ; Sarasota Bay, FL; Santa Monica Bay, CA; San Francisco Bay, CA; Galveston Bay, TX; Albemarle/Pamlico Sound, NC; Buzzards Bay, MA; Narragansett Bay, RI; Long Island Sound, CT-NY; Peconic Bay, NY; Massachusetts Bay, MA; Barataria/Terrebonne Bay, LA; and Indian River Lagoon, FL. Because of extensive Corps involvement with Federal water resources projects in the nation's estuaries and other responsibilities in waters of the U.S., the Corps has been asked to participate on the management and technical advisory committees of those NEP estuaries being studied. The requested funds will be used to cover costs of Corps field office meeting attendance, field reconnaissance, and data transfer.
- **A-3.7. North American Waterfowl Management Program (NAWMP).** The NAWMP is an international program designed to reverse downward trends in North America's waterfowl populations by protecting and improving waterfowl habitats nationwide, particularly in 34 areas

within the United States identified as being critical to meeting NAWMP goals and objectives. Department of the Army support to the NAWMP is set forth in an agreement signed with the Department of the Interior on January 23, 1989. The Corps of Engineers has broad water resources development responsibilities and authorities, and has stewardship responsibilities for over seven million acres of water and land. Many Corps of Engineers projects contribute directly or indirectly to the habitat base for the nation's waterfowl and other wetland species. The requested funds will be used to cover costs of Corps of Engineers field office participation in field trips, interagency coordination meetings, and information transfer in response to conditions set forth in the agreement between the Department of the Interior and the Department of the Army.

A-3.8. Interagency and International Support.

- a. **Program Objective.** Authorized by Section 234 of the Water Resources Development Act of 1996, this program is for activities in support of other Federal agencies or international organizations to address problems of national significance to the United States.
- b. **Submission Requirements.** An illustration A-3.6 titled Interagency and International Support is required. Illustration A-3.6 is an information display with supporting narrative in the format of Illustration A-3.4. The narrative should identify the work that would be pursued with the requested fund.
- **A-3.9. Coordination with Other Water Resources Agencies** (including Department of Agriculture, Natural Resources Conservation Service; Department of Interior, Bureau of Reclamation; and Regional Planning Commissions and Committees Programs).
- a. **Program Objective.** The objective of this program is to provide coordination with these agencies on water resources issues and problem areas of mutual concern that are general in nature and not part of a programmed project or study.
- b. **CalFed.** The program objective specifically includes the CALFED Bay-Delta Program solution process for the development of a long -term comprehensive plan that will restore ecological health and improve water management for beneficial uses of the Bay-Delta system.
- c. Lake Tahoe Federal Interagency Partnership. The program objective includes Corps participation in the partnership with other Federal Agencies, in accordance with Executive Order 13057 "Federal Actions in the Lake Tahoe Region", to insure cooperation, support and synergy.

A-3.10. Planning Assistance to States.

a. **Program Objective.** The Planning Assistance to States program is carried out in accordance with the provisions of Sec. 22, PL 93-251. This public law authorizes the Chief of Engineers to cooperate with States (Commonwealths, Territories, etc.) and Indian tribes in the preparation of plans for the development, utilization, and conservation of water and related land resources of drainage basins located within the boundaries of the state. Assistance is provided on the basis of State or tribe requests. When a state or tribe is served by more than one division, the Lead Division assigned in Table 2-5, ER 1105-2-100, has the responsibility for providing data on work requested by that state or tribe. The Lead Division may further delegate that responsibility to a Coordinating District, but that Coordinating District is responsible for coordinating not only with the State or tribe, but also with the other Districts doing work for that State or tribe.

b. **Submission Requirements.** Planning assistance is coordinated and scheduled to ensure the continuation and completion of ongoing work and the timely initiation of new work requested by the States and tribes. Lead Division offices should provide a prioritized listing of all work for states and tribes under their responsibility in the format of Illustration A-3.3.

A-3.11. International Waters Studies.

- a. **Program Objective.** This program contributes to better control, utilization, and orderly development of jointly controlled water resources along the U.S. Canadian boundary. It encompasses four boards and one committee established by the International Joint Commission (IJC) and in response to other U.S./Canadian cooperative efforts. IJC boards fall into two broad categories: boards of control, which are essentially permanent; and engineering or advisory boards, which are usually dissolved after completing their investigation.
- b. **Eligibility.** Activities within the scope of authority of an appropriate Board or committee are eligible for funding.
- c. **Submission Requirements.** An information display and supporting narrative as shown in Illustration A-3.4 is required.

A-3.12. Flood Plain Management Services (FPMS).

- a. **Program Objective.** The Corps is authorized by Section 206 of the 1960 Flood Control Act, as amended, to provide information, technical assistance, and guidance, in identifying the magnitude of the flood hazard and for planning wise use of the flood plain. Direct response and assistance are provided through the FPMS program to states, Indian tribes and local governments without charge and to Federal agencies and private persons on a cost reimbursable basis.
- b. **Submission Requirements.** An information table as shown in Illustration A-3.5 is required. FPMS funding requirements are to be shown for (1) District FPMS Units, (2) Quick Responses taking 10 minutes or less and provided without charge, (3) Technical Services, and (4) Special studies. An estimated cumulative number of responses to requests will be shown for Quick Responses and Technical Services. Submit two versions of Illustration A-3.5; one for the PY-2 amount and another based on capability to meet demand from state, tribal and local governments. The funding requirements for Quick Responses should not exceed two percent of the PY-2 work allowance amount. Hurricane Evacuation Study (HES) funding will be retained by HQUSACE for allotment at a later date. Full reimbursement should be required for assistance to Federal agencies and private persons. Information provided for Illustration A-3.5 should exclude all requirements for HES and for assistance to Federal agencies and private persons.

A-3.13. Hydrologic Studies.

- a. **Program Objectives.** To collect and analyze basic data on hydrologic, climatologic, and river morphology for general use in connection with the Corps planning design, construction, and operation of water resource projects.
- b. **Submission Requirements.** Provide a breakdown by District in the format of illustration A-3.1. Note that all activities in this class (260) should be defined and reported as follows:

- (1) **261, Storm Studies.** Includes Part I and II storm studies accomplished in coordination with National Weather Service.
- (2) **262, General Hydrologic Studies.** Includes generalized hydrologic analyses of rainfall runoff relationship, flood frequency, snowmelt studies, hydrograph development and routing at selected watersheds, model calibrations in urban areas, and analyses of past floods and other studies of hydrologic nature.
- (3) **263, Sedimentation Studies.** Includes all non-project sedimentation investigation activities at the Waterways Experiment Station.
- (4) **264, Streamflow and Rainfall Data Collection.** This continuing program provides for installation and operation of streamflow and rainfall gages for general studies. It also provides for flood investigation activities such as investigation of hurricane surges; high water mark setting, measurement, and recordings; and rainfall bucket surveys.
- **A-3.14. National & International Water Resources Coordination.** The national and international water resources coordination program is for Corps of Engineers activities, not otherwise funded, that require coordination effort with other agencies and governments. These activities include such things as meeting with officials to develop collaborative exchanges in complementary areas such as navigation, flood protection, coastal development, dredging and river basin management. The funds would be used to cover costs of meetings and to conduct workshops on water resource trends and decision points between the Corps and other organizations or governments. The Corps of Engineers signed a Memorandum of Agreement with the Dutch Rijkswaterstaat in May 2004 and this program would fund costs associated with sharing experiences between the two nations.

ILLUSTRATION A-3.1 DISTRICT BREAKDOWN (Code 901-171,172,173,175,176,177,178,181,186,240,250,260) (\$K)

Division:
Tentative Allowance Total DISTA DISTB DISTC etc.
PY-1 PY
SPECIAL INVESTIGATIONS AND) GULF OF MEXICO PROGRAM
AND) PACIFIC NORTHWEST FOREST CASE STUDY
AND) CHESAPEAKE BAY PROGRAM AND)
FERC LICENSING AND) NTERAGENCY WATER RESOURCES DEVELOPMENT
AND) AMERICAN HERITAGE RIVER NAVIGATORS
AND) NATIONAL ESTUARY AND)
NORTH AMERICAN WATERFOWL MANAGEMENT

ILLUSTRATION A-3.1 (Continued) DISTRICT BREAKDOWN (Code 901-171,172,173,175,176,177,181,186,240,250,260) (\$K)

Division: Tentative Allowance Total DIST.-A DIST.-B DIST.-C etc. PY-1 PΥ (AND) INTERAGENCY AND INTERNATIONAL SUPPORT COORDINATION WITH OTHER WATER RESOURCES AGENCIES (AND) CALFED (AND) LAKÉ TAHOE FEDERAL INTERAGENCY PARTNERSHIP (AND) PLANNING ASSISTANCE TO STATES (AND) **INTERNATIONAL WATER STUDIES** (AND) FLOOD PLAIN MANAGEMENT SERVICES HYDROLOGIC STUDIES **SUBCLASS** PY-1 PΥ

ILLUSTRATION A-3.2 WORK ACCOMPLISHED (Code 901-171)

Division:	

SPECIAL INVESTIGATIONS

DISTRICT	NARRATIVE DESCRIPTION
A	PY-3:
A	PY-2:
B	PY-3:
B	PY-2:
etc.	

ILLUSTRATION A-3.3 PLANNING ASSISTANCE TO STATES

(Code 901-186)
Priority Listing
Fiscal Year_____

Lead Division:				
Work Item Name	State	State Priority	Performing Office	Amount (\$000)
1/			2/	

^{1/} List work items in order of decreasing priority as established by the Lead Division.

^{2/} Priority as indicated by the State.

Division:

or committee. Include the associated program request for each board.

ILLUSTRATION A-3.4 INTERNATIONAL WATERS STUDIES (Code 901-240)

Justification:	Furnish a brief description	n of the Division/Distric	cts activities and p	otential accompl	ishments relating	to the functions o	f each board

ILLUSTRATION A-3.5 FLOOD PLAIN MANAGEMENT SERVICES (Code 901-250)

Division:		
Work Item	Amount (\$000)	Total # Responses/Studies
District FPMS Units	N/A	
Quick Responses	(5% Max.)	(# of responses)
Technical Services		(# of responses)
Special Studies		(# of studies)